

STATE PERFORMANCE GOALS AND WORKSHEET FOR UTAH MUSEUMS

Organization or Museum Name: _____

The Utah Division of Arts & Museums established the State Performance Goals to help museums, particularly small and mid-sized museums, benchmark progress, build capacity, and set new standards of excellence. Statewide progress on the goals is measured through an annual museum survey and through progress reported in museum grant applications.

The Utah State Performance Goals are modeled on the Museum Assessment Program (MAP) administered by the American Alliance of Museums and the Institute of Museum and Library Services and the Standards and Excellence Program for History Organizations (StEPS) administered by the American Association for State and Local History. Utah Arts & Museums encourages museums to participate in regional and national certification programs such as StEPS and MAP, and we hope the State Performance Goals will be good preparation and provide confidence in self assessment.

The State Performance Goals cover eight areas of museum operations:

1. Structure
2. Staff/Volunteers
3. Finance
4. Facilities
5. Collection Management/Conservation
6. Exhibitions
7. Education
8. Public Relations

USING THE STATE PERFORMANCE GOALS

The State Performance Goals will be most effective if they are incorporated into a regular planning process. Most of the goals exist along a continuum and far from being items to “check off” are areas that most museums, large or small, can improve on. For example, most museums would benefit from revisiting or implementing new collections care policies and plans. Most of the goals have a natural progression from “good” to “better” to “best”

Each measure is self-evaluated and self-reported. Words such as “regularly,” “several,” “many” and “appropriate” may mean different things to different museums depending on scale, purpose, budget, and staff. Please be as detailed as possible when utilizing these words to help us better understand how your museum compares to other similar museums.

Refer to the glossary at the end of this document should you have any questions; this glossary will provide baseline knowledge to assist in filling out the performance goals worksheet.

It can be easy to get overwhelmed, but remember that each museum is unique and that you should be mindful of your capacity. Any progress toward the goals advances your museum and provides an opportunity to celebrate success. Use the worksheet as a guide to complete your answers. Please transfer all answers to the separate Performance Goals worksheet found on the [UA&M website](#) under museums, which is a fillable worksheet. This PDF is what you will submit with your museums grant through the online grants portal.

PLANNING PROCESS

1. Conduct an internal self-evaluation using the provided worksheet. This is an opportunity to establish a baseline and identify those areas where efforts will yield the greatest return. Be honest but realistic. The State Performance Goals are a tool for you to use in setting goals for your museum and will be most effective if calibrated to your unique situation. Please contact Jennifer Ortiz at jenniferortiz@utah.gov or 801-236-4541 should you have any questions regarding filling out the Performance Goals worksheet.
2. Review the most recent [museum survey](#) to benchmark your progress against other museums across the state.
3. Prepare a list of actions that would further the museum's progress toward the goals.
4. Prioritize the list of actions. You could focus on one operational area or identify key goals from several operational areas. Priority goals might include those that are in critical need of attention, those that yield the greatest return for the effort invested, or actions that are easy to accomplish ("low-hanging fruit") and offer an opportunity to celebrate success. Create action items and goals that are realistic for your organization; make the performance goals fit for your museum, not the other way around.
5. Take action. Incorporate the prioritized list in your planning and communicate objectives throughout the organization. Set specific, measurable goals. Seek information, training and other resources from Utah Arts & Museums and other sources.
6. Celebrate your success. Report your progress on the goals to your board, community, and to Utah Arts & Museums [staff](#).
7. Revisit the State Performance Goals frequently to review your progress and create new action lists.

BASIC REQUIREMENTS

- ☐ Have tax-exempt status with the Internal Revenue Service or be operated by a parent nonprofit, university or government entity that does.
- ☐ Be organized on a permanent basis for educational purposes
- ☐ Be open to the general public on a regular basis
- ☐ Have as a primary purpose the display or use of collections and exhibits through facilities the museum owns or operates
- ☐ Have at least one paid or unpaid staff member or the equivalent, whose primary duty is the care, acquisition or exhibition to the public of objects owned or used by the museum
- ☐ Obtain [Certified Utah Museum](#) status from Utah Arts & Museums
- ☐ Take the American Alliance of Museums [Pledge of Excellence](#)

RECOMMENDED GOALS

I. STRUCTURE

- a. Know your organizational status (independent nonprofit, operating under government or other nonprofit, etc.) and maintain founding and governing documents, i.e., articles of incorporation, bylaws, IRS 501(c)(3) determination letter, charitable solicitations permit, policies, board minutes, etc.
- b. Develop a mission statement describing the scope, purpose, and audience and measure your activities against the mission statement
- c. Create a strategic plan that includes your goals for the next 3-5 years. Break out the plan into manageable pieces by looking at the year ahead of you. Setting goals will be a regular part of the museum's operational procedures, including strategic plans
- d. Museum governing body will abide by and review its governing documents and bylaws annually.

This worksheet is to serve as a continuous improvement tool and an opportunity for goal setting. Remember, you don't need to fill out all of the prioritized actions if they are not applicable to you; fill out the sections that you are working on or would like to work on that fit within the scope of your museum's parameters. **Use this form as a guide only—remember to transfer your answers to the final chart at the end of this document if you are applying for a museum grant.**

| STRUCTURE | | | |
|---|--|---|------------------------|
| Good | Better | Best | Date/milestone reached |
| We know our organizational status | We maintain some founding and governing documents - articles of incorporation - bylaws - 501(c)(3) letter - charitable solicitations permit - policies - board minutes | We maintain all founding and governing documents -articles of incorporation -bylaws - 501(c)(3) letter - charitable solicitations permit - policies - board minutes - Ethics policy | |
| We have developed a mission statement | Our mission statement accurately describes our scope, purpose and audience. | Our activities are measured and recorded against our mission statement. | |
| We set measurable goals | We have a written strategic plan | We regularly set goals and track progress in congruence with our strategic plan | |
| Our governing body has governing documents and bylaws | Our governing body abides by its governing documents | Our governing body regularly reviews and revises its governing documents | |

II. STAFF (PAID AND VOLUNTEER)

- a. Establish personnel policies and define job descriptions for all paid and unpaid staff. Policies will include conflict of interest, benefits, and code of ethics.
- b. Adopt a professional code of ethics that staff must abide by. We encourage all Utah museums to take the American Alliance of Museums [Pledge of Excellence](#) (no cost). Also see the Utah Nonprofits Association [Standards of Ethics](#) for some guidelines.

- c. Adopt a separate professional code of ethics for all unpaid staff and volunteers
- d. Demonstrate a commitment to professional development to your staff and volunteers (i.e., access to museum literature, attendance at museum workshops and conferences, etc)
- e. Develop recruitment and succession plans for key board and staff positions.

This replaces the strategic plan requirement and is to serve as a continuous improvement tool and an opportunity for goal setting. Remember, you don't need to fill out all of the prioritized actions if they are not applicable to you; fill out the sections that you are working on or would like to work on that fit within the scope of your museum's parameters. **Use this form as a guide only—remember to transfer your answers to the final chart at the end of this document.**

| STAFF/VOLUNTEERS | | | |
|--|--|--|------------------------|
| Good | Better | Best | Date/milestone reached |
| Our staff and volunteers have job descriptions | Our job descriptions are regularly reviewed and accurately represent staff duties | We have personnel policies that are communicated and regularly revised | |
| We have read and generally agree to abide by a professional code of ethics statement | We have adopted our own institutional code of ethics, one for staff and one for volunteers | As with other personnel policies, our code of ethics is regularly reviewed, updated, consulted, and distributed to all relevant staff and volunteers | |
| We encourage staff and volunteers to seek professional development on their own | We provide incentives for staff and volunteers to seek professional development | We plan and budget for staff and volunteer professional development | |
| We <i>recruit</i> paid staff and/or volunteers | We <i>retain</i> staff/volunteers through staff development and advancement | We have a written succession plan for key staff and board positions | |

III. FINANCE

- a. Maintain detailed accounting of all expenses and revenues (including cash and in-kind support from individuals, businesses, foundations, and governments) with appropriate policies and controls for the handling of money.
- b. Produce annual financial statements, including all assets and liabilities (excluding value of collections) which will be regularly reviewed by the governing authority.
- c. Museum's governing authority will approve an annual budget and regularly review financial statements.
- d. Develop a fundraising plan to support future needs

This worksheet is to serve as a continuous improvement tool and an opportunity for goal setting. Remember, you don't need to fill out all of the prioritized actions if they are not applicable to you; fill out the sections that you are working on or would like to work on that fit within the scope of your museum's parameters. **Use this form as a guide only—remember to transfer your answers to the final chart at the end of this document if you are applying for a museum grant.**

| FINANCE | | | |
|--|--|---|------------------------|
| Good | Better | Best | Date/milestone reached |
| We maintain records of expenses, revenues, | We have established and follow internal policies for | Our policies include checks and controls such as separation of duties | |

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| donations and in-kind contributions | the handling of funds | and multi-person control | |
| We prepare financial statements | We regularly prepare financial statements | We regularly prepare and review financial statements | |
| Our governing authority reviews our financial statements | Our governing authority approves an annual budget | Our governing board regularly and thoroughly reviews the financial statements and budget at previously agreed-upon meetings | |
| We engage in fundraising activities | We have a fundraising plan connected to future needs | Our staff and governing authority are actively engaged in raising resources | |

IV. FACILITIES

- Museum will maintain ownership or lease documentation on museum building and other partnerships, i.e., maintenance, grounds, security
- Facilities and grounds will be well maintained
- Develop a policy covering security measures for collections, exhibitions, and building security for both everyday events and for disaster response (i.e. collections, exhibitions, and building)
- Evaluate your accessibility to visitors and staff of all abilities
- Facility will be insured, if applicable, and liability insurance will be maintained for both the collection and the building.
- Fire protection will be in accordance with local ordinances.
- Develop a disaster plan that covers both facilities and the collection

This replaces the strategic plan requirement and is to serve as a continuous improvement tool and an opportunity for goal setting. Remember, you don't need to fill out all of the prioritized actions if they are not applicable to you; fill out the sections that you are working on or would like to work on that fit within the scope of your museum's parameters. **Use this form as a guide only—remember to transfer your answers to the final chart at the end of this document**

| FACILITIES | | | |
|--|---|--|------------------------|
| Good | Better | Best | Date/milestone reached |
| We have some ownership, lease, maintenance, grounds and security documentation | We maintain copies of all ownership, lease, maintenance, grounds and security documentation | We regularly review renewable partnerships and contracts | |
| Facilities and grounds are well maintained | We have a plan for addressing facility maintenance and repairs or we are in contact with those that take care of facility maintenance | We have a plan for improvements and capital acquisitions | |
| We have a security plan and are in process of creating a security policy | Our security policy covers at least two of the following: collections, exhibitions, building | Our security policy is comprehensive and addresses collections, exhibitions and the building | |
| Our museum is ADA compliant | We have gone beyond compliance to be more accessible to all (staff, visitors) | Accessibility in all forms is fully considered in all current and future planning | |
| We are aware of our current | Our facility is insured and | We have risk management procedures | |

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| stance with our insurance | liability insurance maintained | and plans in place, including a disaster and emergency plan | |
| We have working fire alarms | We have additional fire protection such as extinguishers and sprinklers | We conduct fire drills and meet with the fire marshal to check code compliance. | |
| We have a disaster plan | Our disaster plan covers a wide variety of possible incidents (fire, flood, earthquake, violence) | We regularly review and practice our plan through disaster drills and emergency table top exercises | |

V. COLLECTIONS/CONSERVATION

- a. Updated accession records will be kept and duplicates kept securely in an off-site location
- b. Collection will be catalogued and photographed
- c. A collections management policy will be developed and include a definition of the collection and policies regarding loans, donations, accession and de-accession processes, in addition to collections care standards.
- d. The museum is aware of the condition of the collection. Inventory is conducted on a regular basis depending on your collection scope and detailed records are kept of each inventory. Condition survey completed for the collection during inventory.
- e. Museum will maintain collection care standards:
 - Staff involved with collections will be trained in proper handling techniques
 - Collections not on display will be kept in a secure place
 - Collections will be protected from detrimental effects of light, temperature change, humidity, pests, pollutants and unnecessary human interaction
 - Collections will be managed in accordance with state and federal laws, e.g., Native American Graves Protection and Repatriation Act (NAGPRA), Nazi looting, guidelines for the display of human remains and religious relics
 - Inventory will be conducted on a predetermined schedule
 - Loans in the museum will have updated loan paperwork, signed by the lender on an annual basis. All found in collection items (FIC) and abandoned objects should be documented and kept separate from the permanent collection and processed should the museum pursue formal acquisition.
- f. Museum will determine the importance and status of insurance on collections (i.e. objects on display or in storage, objects on loan to and from the museum, lendee insurance, etc.

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| COLLECTION | | | |
|--|--|--|------------------------|
| Good | Better | Best | Date/milestone reached |
| We have accession records | Our accession records are organized | Duplicate accession records are kept securely off-site | |
| Collection is partly catalogued | Collection is 100% catalogued | Collection is catalogued and photographed and publicly accessible | |
| We have started a collections management policy | We have a comprehensive collections policy that was approved by the governing authority | Our collections management policy covers loans, donations, accession and de-accession and is revised and reviewed regularly. The policy also includes a collecting plan. | |
| We generate regular condition reports for the permanent collection | We know the overall condition of the collection through condition reports and spot condition surveys | We have conducted a condition assessment and regularly budget for preventative conservation needs | |

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| Our collection care standards include 1 of the following: -Staff trained in handling techniques - Items not displayed are secure -Items protected from environment -Collections comply with laws | Our collection care standards include 2 of the following: -Staff trained in handling techniques -Items not displayed are secure - Items protected from environment -Collections comply with laws | Our collection care standards include all the following: -Staff trained in handling techniques - Items not displayed are secure - Items protected from environment -Collections comply with laws | |
| Insurance status of key items has been determined | Insurance for most of the collection has been established | We have implemented insurance decisions on all objects including permanent and loan collections | |

VI. EXHIBITIONS

- Museums will plan exhibits with specific objectives, curated in a way that is inclusive and evaluates exhibits against the stated objectives
- Exhibit interpretation will be provided and every effort will be made to provide **historically and contextually accurate** information.
- Protect objects while on display and give special attention to mounting procedures, environmental controls, and security as per their collections management policy.

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| EXHIBITIONS | | | |
|--|---|--|------------------------|
| Good | Better | Best | Date/milestone reached |
| Exhibits are planned with a specific objective | Exhibits are evaluated against their objectives | Exhibits are thoughtfully curated in a way that involves the community and evaluated with visitor feedback in mind | |
| Basic exhibit interpretation is provided | Significant interpretation is provided and sources identified | We have thoroughly researched and fact-checked interpretation information using field recognized sources that are historically and contextually accurate | |
| We use some exhibit mounting procedures for objects on display | We use exhibit mounting procedures for all objects on display | Exhibition mounting techniques utilize appropriate collections safe materials wherever possible | |

VII. EDUCATION

- Develop educational programs that relate to the stated mission/purpose of the museum and that utilize the museum's collections and resources
- Educational programs will be organized for a variety of audiences (i.e. individuals of differing ages, cognitive levels and cultural backgrounds)
- Develop educational programming for a variety of audiences and styles of learning. Visitors will engage and interact with the educational programming and provide feedback. Educational activities may include:
 - any type of exhibition
 - printed informational materials
 - All public tours

- iv. gallery strolls/receptions, open houses
- v. lectures/gallery talks/performances
- vi. docent training
- vii. demonstrations
- viii. classes/workshops/panel discussions/symposia
- ix. public research
- x. children's activities/events
- xi. teacher workshops
- xii. activities in other languages
- xiii. off-site school activities

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| EDUCATION | | | |
|--|--|---|-------------------------------|
| Good | Better | Best | Date/milestone reached |
| We have developed educational programs around the collections and/or exhibitions | Our educational programs relate to our mission and tie into our larger strategic plan | We have a separate educational philosophy/mission that supports the museum's mission and utilizes the museum's collection and resources | |
| Educational programs are organized with a specific audience in mind | Educational programs are organized around a few different ages and groups | Educational programs are organized for a variety of ages, abilities and cultural backgrounds | |
| We have educational programming | Education programs strive to provide a variety of experiences for different ways of learning | Education programs provide an opportunity for visitors to engage and interact and give feedback | |

VIII. PUBLIC RELATIONS

- a. Collect information about visitors (i.e. home zip code, supplied demographics)
- b. Have regular hours of operation that are posted publicly
- c. Conduct marketing and public relations efforts, e.g.:
 - website
 - social media
 - mailing or emailing lists
 - newsletters
 - press releases, press kits and lists of media to send them to
 - banners and signs
 - flyers (school, utility mailers, church & civic organizations)
 - community calendars and NowPlayingUtah.com
 - radio/TV public service announcements/special events

This replaces the strategic plan requirement and is to serve as a continuous improvement tool and an opportunity for goal setting. Remember, you don't need to fill out all of the prioritized actions if they are not applicable to you; fill out the sections that you are working on or would like to work on that fit within the scope of your museum's parameters. **Use this form as a guide only—remember to transfer your answers to the final chart at the end of this document.**

| PUBLIC RELATIONS | | | |
|--|---|--|-------------------------------|
| Good | Better | Best | Date/milestone reached |
| We have a rough estimate of attendance | We have an accurate count of attendance | We track attendance and key information about visitors (age, zip code, how they heard about us, etc) | |

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| We have regular hours of operation | Our community is aware of our hours of operation and we post our hours in a public space | We promote our hours of operation outside our community and regularly update them and the contact information when it changes | |
| We engage in some PR and marketing activities | Our PR and marketing activities are organized through a marketing plan, and tailored to reach target audiences | Our marketing plan connects PR and marketing activities to multiple audiences and stakeholders. PR and marketing activities are evaluated for their effectiveness and return on investment | |

The State Performance Goals will change from time to time as the environment changes and as we incorporate feedback from the field. Please contact Jennifer Ortiz at 801-236-7541 or jenniferortiz@utah.gov with comments, questions or suggestions.

Glossary

- **Accessibility:** this term covers a wide range of disabilities that the Americans with Disabilities Act (ADA) stipulates museums must accommodate including but not limited to: facilitating safe access into and out of a museum, exhibition/building navigation, tools and/or collections for individuals who are seeing or hearing impaired, etc.
- **ADA Compliant:** in accordance with the Americans with Disabilities Act, museums that maintain and meet accessible physical spaces(i.e. building or exhibitions) in addition to providing accessibility to all museum programming.
- **Certified Utah Museum:** a registration through Utah Arts and Museums which signifies that your museum or organization has met the following qualifications: that your museum is located in Utah, that is a non-profit that has tax-exempt status as a 501(c)(3) with the IRS OR is governed by a parent organization that is a nonprofit or governmental agency, that it is organized on a permanent basis for educational purposes, that the museum has a primary purpose of exhibiting or using its' collections, and that the organization has at least one paid OR unpaid staff member whose primary responsibility is to care, acquire and exhibit objects from it's organization to the public. Please find the link to the certification form [HERE](#).
- **Charitable Solicitations Permit:** organizations that seek contributions from the public in the state of Utah are required to obtain an annual Charitable Solicitations Permit from the Division of Consumer Protection. The permit compares fundraising expenses and income and generates a percentage of funds raised that is spent for the charitable purpose. Members of the public approached for charitable contributions may request that percentage. The permit may be requested [HERE](#). Certified Utah Museums may apply at 65% of the annual filing fee (currently \$100).
- **Code of Ethics:** is a document that sets forth conduct essential to upholding the integrity of the museum including commitments to public service and personal accountability. According to AAM, it serves as a self-made reference point for institutional choices. It is also a practical and effective tool in risk management—protecting both assets and reputation.” (MAP, 23). A museum code of ethics should cover staff and volunteers and is applied to all operations of a museum including governance, collections, and programs. This should function as a living document and should be publicly accessible and regularly revisited and revised as need be.
- **Collection** – tangible objects, either animate or inanimate, intentionally acquired and cared for by the museum on behalf of the general public and displayed on a regular basis (Institute of Museum and Library Services)
- **Collections Management Policy:** a detailed, written document that states the museum's standards regarding objects in its care that serves as a guide for the staff and provides information to the public. A Collections Management policy typically covers the following: the purpose of the museum and its' collecting goals, how the museum acquires objects (through gift or bequest, purchase, etc.), how museums dispose of objects, if they dispose, any relevant loan policies, the overall care and control of objects in the collection, any related insurance policies that cover the collection and how collection records are kept and maintained. Collections management policies should be publicly accessible.
- **Collecting Plan:** a section within a museum's collections management policy that further details the holdings of the museum's collection and the future of the organization's collecting in accordance to their stated goals and/or strategic plan.
- **Conservation:** the physical intervention for the safety or care of an object. Conservation work is typically only carried out by conservators or trained professionals. Conservation can include cleaning and repairs.
- **Disaster or Emergency Plan:** a written and accessible document for your museum that covers what your museum and staff will do in the event of a man made or natural catastrophic building and/or natural disaster. The plan should cover a variety of potential events, include a response guide and chain of command for staff, evacuation procedures, a plan for how your museum will handle all building and collections security and intervention following a disaster and any immediate remediation tools for your collections should they be affected. The plan will also include point of contact numbers and any emergency numbers for your building, staff, and local municipalities.

- **Governing Authority:** this term refers to the group of individuals that oversees your museum operations. This could be called a board of directors or governing authority. A board of directors must consist of at least three voting individuals who hold the organization in the trust of the public and owe the museum duties of obedience, care, and loyalty.
- **Mission Statement:** a brief statement that outlines the museum's agreed upon purpose and primary audience. Please see the American Alliance of Museums guide for developing a museum mission statement [HERE](#).
- **Museum** – a public or private nonprofit institution which is organized on a permanent basis for essentially educational or aesthetic purposes and which owns or uses tangible objects, either animate or inanimate, cares for these objects and exhibits them to the general public on a regular basis. (Institute of Museum and Library Services)
- **Organizational Status:** the legal structure under which the museum operates. Most Utah museums are **independent nonprofits**—corporations registered with the Utah State Department of Commerce and recognized as nonprofits by the Internal Revenue Service. 501(c)(3) refers to the section of the U.S. tax code that authorizes nonprofits. This status is obtained by filing form 1023 with the IRS, and organizations with this status receive a letter from the IRS. This designation is required for a museum to be able to accept tax-deductible contributions.
- **Pledge of Excellence:** a step in the American Alliance of Museums "Continuum of Excellence." When signing the Pledge of Excellence, your museums commits to strivings towards operating in accordance with best practices. The Pledge of Excellence is free to take and is located [HERE](#).
- **Strategic Plan:** a document that lays out your institutional priorities, goals, and visions. It is a living document that is meant to be both flexible and a guide.
- **Succession Plan:** a process (and potential written document) that addresses identifying and developing internal or external people to fill in potential leadership or administrative gaps that will arise as a result of retirement, death, resignation, and/or re-organization of your institution. Succession plans are applied to both volunteer and paid staff.

Bibliography

Malaro, Marie C. *Museum Governance: Mission, Ethics, Policy*, Smithsonian Institution Press. Washington: 1994.

(MAP) American Association of Museums, *A Higher Standard: Museum Accreditation Program Standards*. Washington: 2005.

(StEPS) American Association of State and Local History, *Standards and Excellence Program for History Organizations*. Nashville: 2009.